

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Ken Hamilton

Serial No.:

10/651,387

Filed:

August 29, 2003

Group:

To Be Assigned

Examiner:

To Be Assigned

For:

DECISION ANALYSIS SYSTEM AND METHOD

Mail Stop: DD

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Dear Sir:

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to Commissioner of VA 22313-1450 on the date shown below Patents, P. O. Box 1450, Alexandria,

INFORMATION DISCLOSURE STATEMENT

In accordance with the requirements of 37 C.F.R. §§ 1.56, 1.97, and 1.98, attached please find a Form PTO SB/08 listing information for consideration by the Office in connection with its examination of the above-captioned patent application. A copy of each listed document is enclosed herewith.

Applicant requests that this information disclosure statement be considered and that a copy of the Form PTO SB/08 be returned to the undersigned indicating the consideration of each document listed.

Applicant submits that no representation is made, and no representation is intended, that more relevant material does not exist, or that the order of presentation of these materials in any way reflects their relevant pertinence. The listing on the attached Form PTO SB/08 is not intended to constitute an admission of any kind. Specifically, this presentation is not an admission that any of

INFORMATION DISCLOSURE STATEMENT Serial No.: 10/651,387

the items listed are properly citable against the above-identified application as prior art. Applicant respectfully submits that his invention is patentable over the enclosed documents listed on Form PTO SB/08.

To Applicant's knowledge, this information disclosure statement is being filed before the mailing date of a first Office Action on the merits. Therefore, pursuant to 37 C.F.R. §1.97(b)(3), no fee is believed necessary for its consideration. Please charge any necessary fees or deficiencies in fees necessary for the filing of this paper or credit any overpayment to Deposit Account No. 20-0780/HAMK-26,430 of HOWISON & ARNOTT, L.L.P.

Respectfully submitted,

HOWISON & ARNOTT, L.L.P. Attorneys for Applicant

David C. Cain

Registration No. 45,337

DCC/yoc

P.O. Box 741715 Dallas, Texas 75374-1715 Tel. (972) 479-0462 Fax. (972) 479-0464 January 9, 2004

PTO/SB/08A (08-03)

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1

Complete if Known				
Application Number	10/651,387			
Filing Date	August 29, 2003	_		
First Named Inventor	Ken Hamilton			
Art Unit	To Be Assigned			
Examiner Name	To Be Assigned			
Attorney Docket Number	HAMK-26,340	1		

		•	U. S. PATEN	T DOCUMENTS	
Examiner Initials*	Cite No.1	Document Number Number-Kind Code ^{2 (f known)}	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevan Figures Appear
/DN/	AA	^{US-} 6,484,155	11/19/2002	Kiss et al.	
		US-			
	-	US-			
		US-			

	FOREIGN PATENT DOCUMENTS							
Examiner Cite	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages				
		Country Code ^{3 -} Number ^{4 -} Kind Code ⁵ (if known)	MM-DD-YYYY		Or Relevant Figures Appear	T ⁶		
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Examiner Signature	/Tan Nguyen/	Date Considered	04/26/2008

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This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Substitute for form 1449/PTO	Complete if Known		
Customate for form 1740.	Application Number	10/651,387	
INFORMATION DISCLOSURE	Filing Date	August 29, 2003	
STATEMENT BY APPLICANT	First Named Inventor	Ken Hamilton	
(Use as many sheets as necessary)	Art Unit	To Be Assigned	
(Use as many sneets as necessary)	Examiner Name	To Be Assigned	
Sheet 2 of 3	Attorney Docket Number	HAMK-26,340	

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
/DN/	01	The intelligent Solution for Quntifying Operational Risk; Operational Risk is the Risk of Loss Resulting from Inadequate or Failed Internal Processes, People and Systems or From External Events; Agena Limited, United Kingdom; www.agena.co.uk	
/DN/	02	KATHRYN BLACKMOND LASKEY ET AL.; Multisource Fusion for Opportunistic Detection and Probabilistic Assessment of Homeland Terrorist Threats; SEOR Department, George Mason University; Fairfax, VA	
/DN/	03	LINWOOD D. HUDSON; An Application of Bayesian Networks to Antiterrorism Risk Management for Military Planners	
/DN/	04	DTLR/Multi Criteria Analysis: A Manual; Department for Transport, Local Government and the Regions; United Kingdom; pp1-28; www.dtlr.gov.uk/about/multicriteria/07.htm	
/DN/	05	NORMAN FENTON, ET AL.; Making Decisions: Using Bayesian Nets and MCDA; Computer Science Department, Queen Mary and Westfield College; London; Version 7; April 4, 2000; pp1-27	
/DN/	06	Groove Workspace: Software that Connects your Teams Instantly and Securely; Discuss ideas, Share files, Coordinate Projects and Meetings	
/DN/	07	Groove Platform; The Groove Platform for Decentralized Computing Extends Small-Group Interaction and the Value of Existing Business Systems across Technical and Organizational Boundaries	
/DN/	08	Criterium Decision Plus; The Complete Decision Formulation, Analysis; Guide to Group Decision-Making; Agena Limited, England	
/DN/	09	Appendix C: Integrating the Maxwell Risk Criteria Matrix (MRCM) with the Analytical Hierarchy Process (AHP): The Maxwell Risk Criteria Matrix (MRCM), as developed by Dr. Maxwell, is very sueful in locating where a subsystem being evaluated for Risk is Relative to the Criteria Qualitatively	
/DN/	10	Generally-Accepted System Security Principles (GASSP); International Information Security Foundation; The International Information Security Foundation (I2SF) - Sponsored Committee to Develop and Promulgate Generally Accepted System Security Principles; June 1999; pp 1-74	

Examiner Signature /Tan Nguyen/ Date Considered 04/26/200)8
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Substitute for form 1449/PTO		Complet if Known		
Substitute for form 1449/	rio		Application Number	10/651,387
INFORMATION DISCLOSURE			Filing Date	August 29, 2003
STATEMENT BY APPLICANT		First Named Inventor	Ken Hamilton	
			Art Unit	To Be Assigned
(Use as many sheets as necessary)		Examiner Name	To Be Assigned	
Sheet 3	of	3	Attorney Docket Number	HAMK-26,430

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
/DN/	11	Information Security Forum; The Standard of Good Practice for Information Security; Version 4; March 2003	
/DN/	12	Generally Accepted System Security Principles; (GASSP); The International Information Security Foundation (12SF) Sponsored Comittee to Develop and Promulgate Generally Accepted System Security Principles; pp 1-7; GASSP Home Page; web.mit.edu/security/www/gassp1.html	
/DN/	13	Risk Metrics Needed for IT Security; Risk Free; VoIP; pp1-6; www.securitypronews.com/securitypronews-24-20030805RiskMetricsNeededforITSecurity	
/DN/	14	JOHN H. SAUNDERS; A Risk Management Methodology for Information Security; The Analytic Hierarchy Process; Washington, DC; pp 1-8; file://C:\TEMP\A%20Risk%20Management%Methodology%20for%20Information%20Security	
/DN/	15	Security Application; A Service Management Decision Analysis System and Process for Designing, Optimizing, and Managing a Service Chain Including Business Requirements, IT Services, Systems, Devices, Network, User and Application Problem Spaces	
/DN/	16	Excellent for Service Level, Change and Risk Management; The Intelligent MCDM Process Starts with the Initiation of a Group of Experts Chosen by the Facilitator	
/DN/	17	Department for Transport, Local Government and the Regions; Chapter 4; An Overview of Multi-Criteria Analysis Techniques; pp 1-12; www.dtlr.gov.uk/about/multicriteria	
/DN/	18	Provisional Application; A Group Decision Process and System for the Security Lifecycle Using Multi-Criteria Decision Support; Key to the Invetnion is the Ability to Design, Devlop, Implement, Support and Update Security Mechanisms	
/DN/	19	Provisional Patent Application; Relates in General to the Field Electronic Systems and More Particularly to System and Method for Extended I.T. Service Management Across a Service Chain	
/DN/	20	VERMA ET AL.; Supportability Evaluation of System Architectures; U. S. Patent Application No. 2002/0049571; Serial No.: 09/864,302; Publication Date 4/25/2002	

Examiner Signature	/Tan Nguyen/	Date Considered	04/26/2008

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